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CLEARINGHOUSE RULE 00-117

Comments

[NOTE: All citations to “Manual” in the comments below are to the Administrative Rules Procedures Manual, prepared by the Revisor of Statutes Bureau and the Legislative Council Staff, dated September 1998.]

2. Form, Style and Placement in Administrative Code

- a. In s. DFI-Sec 5.03 (5), the comma after the notation “(k)” should be replaced by the word “and” and the comma after the notation “(L)” should be deleted.
- b. In the last sentence of the analysis to s. DFI-Sec 7.02 (1) (b), the phrase “subsection in paragraph (8) (c)” should be replaced by the phrase “paragraph in sub. (8).”

5. Clarity, Grammar, Punctuation and Use of Plain Language

- a. In s. DFI-Sec 2.02 (4) (a) 5., third line, the comma after “(8)” should be deleted.
- b. In s. DFI-Sec 4.03. (1) (j), second line, the comma after “customers” should be deleted unless the phrase “to the broker-dealer or its agents relating to securities transactions,” in the third line, does not apply to the clause ending in “customers” (in lines 1 and 2).